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Albert C. Smith

**Application Number** 10/618,140 Filing Date July 10, 2003 TRANSMITTAL FORM First Named Inventor Albert K. Chin (to be used for all correspondence during pendency of **Group Art Unit Number** 3731 filed application) **Not Yet Known Examiner Name** Total Number of Pages in This Submission **Attomey Docket Number** 5 23488-07931 **ENCLOSURES** (check all that apply) Issue Fee Transmittal Fee Transmittal Form (in duplicate) **Check Enclosed** Letter to Chief Draftsperson Return Receipt Postcard Formal Drawing(s): Response to Notice to File Missing Parts [ ] Sheet(s) of Figure(s) [ ] Assignment & Recordation Cover Sheet Appeal Communication to Board of Appeals and Interferences **Declaration** Appeal Communication to Group Power of Attorney (Appeal Notice, Brief, Reply Brief) **Application Data Sheet** Information Disclosure Statement & PTO/SB/08A Certified Copy of Priority Document(s) After Allowance Communication to Group Copies of IDS Cited References Request for Corrected Filing Receipt Request for Correction of Recorded Assignment Amendment/Response: [ ] Page(s) After Final **Status Request Revocation and Substitute Power of Attorney REMARKS:** SIGNATURE OF ATTORNEY OR AGENT Signature: Attorney/Reg. No.: Albert C. Smith/Reg. No. 20,355 Dated: 27/05 **CERTIFICATE OF MAILING** I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10. Signature:

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PLICANT:

Albert K. Chin

**APPLICATION NO.:** 

10/618,140

FILING DATE:

July 10, 2003

TITLE:

APPARATUS AND METHOD FOR ENDOSCOPIC

**ENCIRCLEMENT OF PULMONARY VEINS FOR** 

**EPICARDIAL ABLATION** 

**EXAMINER:** 

Not Yet Known

**GROUP ART UNIT:** 

3731

ATTY. DKT. NO.:

23488-07931

## **CERTIFICATE OF MAILING**

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## INFORMATION DISCLOSURE STATEMENT Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

$\boxtimes$	within three months of the filing date of the application, or date of entry into
	the national stage of an international application, or before the mailing date of
	a first office action on the merits, whichever event last occurred;
	before the mailing of a first official action after the filing of a request for

before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

	after t	hree mo	onths of the filing date of this national application or the date of					
	entry (	entry of the national stage in an international application, or after the mailing						
	date o	f the fir	st official action on the merits, whichever event last occurred, but					
	before	the ma	iling date of the first to occur of either: (1) a final action under					
	37 CF	R §1.11	3; or (2) an action that otherwise closes prosecution in the					
	applic	ation, a	nd:					
		attacl	attached hereto is the fee set forth under 37 CFR §1.17(p) for					
		subm	submission of this Information Disclosure Statement under 37 CFR.§					
		1.97(	1.97(c); OR					
		Appl	icant certifies pursuant to 37 CFR § 1.97(e) that:					
			each item of information contained in this Information					
			Disclosure Statement was first cited in a communication from					
			a foreign patent office in a counterpart foreign application not					
			more than three months prior to the filing of this Statement;					
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			no item of information contained in this Information					
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			foreign patent office in a counterpart foreign application and,					
			to the knowledge of the person signing this certification after					
			making reasonable inquiry, no item of information contained					
			in this Statement was known to any individual designated					
			under 37 CFR § 1.56(c) more than three months prior to the					
			filing of this Statement;					
	on or	before	the payment of the issue fee but after the mailing date of the first					
	to oc	cur of e	either: (1) a final action under 37 CFR § 1.113; (2) a notice of					
	allov	vance ui	nder 37 CFR § 1.311; or (3) an action that otherwise closes					
	prosecution in the application, and:							
		Appl	icant certifies pursuant to 37 CFR. § 1.97(e) that:					
			each item of information contained in this Information					
			Disclosure Statement was cited in a communication from a					
			foreign patent office in a counterpart foreign application not					
			more than three months prior to the filing of this Statement;					
			no item of information contained in this Information					
			Disclosure Statement was cited in a communication from a					
			foreign patent office in a counterpart foreign application and,					
			to the knowledge of the person signing this certification after					
			making reasonable inquiry, no item of information contained					

				in this	Statement was known to any individual designated			
				under 3	37 CFR § 1.56(c) more than three months prior to the			
				filing o	of this Statement; AND			
				attached hereto	to is the fee set forth under 37 CFR §1.17(p) for			
			_		f this Information Disclosure Statement under 37 CFR.§			
				1.97(c); OR				
			after th	• • • • • • • • • • • • • • • • • • • •	the issue fee. Applicant requests that the information			
				<b>4</b> •	ormation Disclosure Statement be placed in the file			
		•			§ 1.97(i), although the information may not be			
				lered by the USI				
		Enclos		•	sted reference that may be material to the examination of			
					ch there may be a duty to disclose.			
		•	•	•				
			• •	·	r 35 U.S.C. § 120, on the earlier filing date of prior			
					ed on, and the references cited therein are hereby			
			•	it are not require	red to be provided in this application under 37 CFR §			
		1.98(d		C1 1 0				
	$\boxtimes$	This application was filed after June 30, 2003. Therefore, pursuant to the waiver of						
			•		FR 1.98(a)(2)(i), copies of each U.S. Patent and each			
			U.S. Patent Application Publication are not required to be submitted. Copies of any					
		•	foreign patent documents and non-patent literature cited herein are enclosed.					
		Each i	tem of	information con	ntained in this Information Disclosure Statement was			
		cited i	n a com	munication from	om a foreign patent office in a counterpart application,			
		and th	e comm	nunication was i	not received by any individual designated in 37 CFR §			
		1.56(c) more than thirty days prior to the filing of this Information Disclosure						
		Statement. 37 CFR § 1.704(d).						
	$\boxtimes$	Applicant submits that no fee is required for the consideration of this Information						
		Disclosure Statement.						
	Consid	deration	of the	listed reference	es and favorable action are solicited.			
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					Respectfully submitted, ALBERT K. CHIN			
					ALDERI IX. CIIIIV			
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Dated:		10/5	7(0 5		By: Q-C. Smith			
					Albert C. Smith, Reg. No.: 20,355 Fenwick & West LLP			
					801 California Street			
					Mountain View, CA 94041			
					Tel.: (650) 335-7296			
					Fax: (650) 938-5200			

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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	Substitute for fo	orm 1449/	VPTO			
INEO		פוחו	CLOSURE	Application No.	10/618,140	
			PPLICANT	Filing Date	July 10, 2003	
SIAI	EINICIA I C	) I Ar	PLICANI	First Named Inventor	Albert K. Chin	
				Art Unit	3731	
				Examiner Name	Not Yet Known	
Sheet	1	of	1	Attorney Docket Number	23488-07931	

U.S. PATENT DOCUMENTS								
	Document No.							
Cite No.	Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document					
A1	US-6,835,193 B2	12-28-2004	Epstein et al.					
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	No.	Cite No. Number – Kind Code² (if known)	Document No.  Cite No.  Number – Kind Code² (if known)  Date MM-DD-YYYY					

FOREIGN PATENT DOCUMENTS									
Foreign Patent Document									
Examiner Initials*	Cite No. <sup>1</sup>	Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sub>6</sub>				

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS								
Examiner Cite Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published								

Examiner	Date	
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Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.